

8.1 IDENTIFICATION AND CONTROL OF ITEMS	Identifier: PRD-5079
	Revision: 5
	Page: 1 of 7

Companywide	Program Requirements Document	For Additional Info: http://EDMS	Effective Date: 04/09/03
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Manual: 13A - Quality and Requirements Management Program Documents

Change Number: 99379

1. PURPOSE

This Program Requirements Document (PRD) identifies requirements and responsibilities for identifying and controlling *items* (see def.). See Appendix A for requirements basis.

2. APPLICABILITY

This PRD applies to company organizations involved in identifying and controlling items during research and development, procurement, construction, fabrication, operation, maintenance and decommissioning phases of facilities for which the INEEL management and operations contractor has responsibility.

3. RESPONSIBILITY

3.1 Cognizant Quality Engineer

The *Cognizant Quality Engineer* (CQE; see def.) is responsible for providing quality assurance support in the identification and control of items for line organizations that originate, use, store, and receive items.

3.2 Line Organizations

Line organizations that originate, use, store, and/or receive items are responsible for identifying and controlling the items in accordance with the requirements contained in this PRD.

3.3 Technical Support Organization

The *technical support organization* (see def.) is responsible for providing technical support in the identification and control of items for line organizations that originate, use, store, and receive items.

3.4 Operations Organizations

Operations organizations are responsible for carrying out the requirements contained in this document through the use of implementing procedures, and for ensuring implementation of this *process* (see def.) for applicable items and activities at operating facilities.

8.1 IDENTIFICATION AND CONTROL OF ITEMS

Identifier: PRD-5079

Revision: 5

Page: 2 of 7

3.5 Infrastructure Organizations

Infrastructure organizations are responsible for carrying out the requirements contained in this document through the use of implementing procedures, and for ensuring implementation of this process for applicable items and activities for all new construction and modifications managed as projects by these organizations.

3.6 Quality Assurance Organization

The quality assurance organization is responsible for establishing and maintaining a system for identifying the quality status of items that encompasses, but is not limited to, *acceptance* (see def.), *rejection* (see def.), hold for *inspection* (see def.), and conditional use.

3.7 Procurement Organization

The procurement organization is responsible for carrying out the requirements contained in this document through the use of implementing procedures. The organization is also responsible for ensuring implementation of this process for applicable items and activities from the time of release of a purchase order to a supplier to the time of release of the item or activity for use.

3.8 Warehouse Organization

The warehouse organization is responsible for acceptance of items in accordance with the requirements of this document.

3.9 Research and Development Organizations

Research and Development (R&D) organizations are responsible for carrying out the requirements contained in this document through the use of implementing procedures. They are responsible for ensuring implementation of this process for applicable R&D, Focus Areas, work for others projects, and other quality-affecting work items and activities performed by these organizations.

4. REQUIREMENTS**4.1 Companywide Applications**

The requirements identified in this subsection (4.1) apply to the entire company unless exempted by INT-17, QA PRD Introduction, Subsection 2.

4.1.1 Basic

- 4.1.1.1 Controls shall be established to assure that only correct and accepted items are used or installed. [NQA-1-1997, Requirement 8, 100 Is]

8.1 IDENTIFICATION AND CONTROL OF ITEMS

Identifier: PRD-5079

Revision: 5

Page: 3 of 7

4.1.2 Identification

- 4.1.2.1 Identification shall be maintained on the items or in documents traceable to the items, or in a manner which assures that identification is established and maintained. *[NQA-1-1997, Requirement 8, 100 2s; DOE/RW-0333P 8.2.1.A]*
- 4.1.2.2 Items of production (batch, lot, component, part) shall be identified from the initial receipt and fabrication of items up to and including installation or use. This identification shall relate an item to an applicable design or other pertinent specifying document. *[NQA-1-1997, Requirement 8, 201 1s and 200 2s; DOE/RW-0333P 8.2.1.B and 8.2.1.C]*
- 4.1.2.3 Requirement deleted.
- 4.1.2.4 Work planning documents that involve *safety class* (see def.) and *safety significant* (see def.) materials shall identify a quality organization *hold point* (see def.) for material *verification* (see def.) prior to processing or installation. Safety class and safety significant materials shall not be released until Quality Inspection has completed material verification. *[Company Imposed Requirement]*

NOTE: Low safety consequence (*see def.*) material verification may be performed by the installer.

4.1.3 Physical Identification

- 4.1.3.1 Physical identification shall be used to the maximum extent possible. *[NQA-1-1997, Requirement 8, 202 1s; DOE/RW-0333P 8.2.2.A.1s]*
- 4.1.3.2 If physical markings are either impractical or insufficient, other appropriate means shall be employed (such as physical separation, labels or tags attached to containers, or procedural control). *[DOE/RW-0333P 8.2.2.A.2s; NQA-1-1997, Requirement 8, 202 2s]*
- 4.1.3.3 Identification markings shall be applied using materials and methods which provide a clear and legible identification and do not degrade the function or service life of the item. *[NQA-1-1997, Requirement 8, 202 3s; DOE/RW-0333P 8.2.2.B.1 and 8.2.2.B.2]*

8.1 IDENTIFICATION AND CONTROL OF ITEMS

Identifier: PRD-5079

Revision: 5

Page: 4 of 7

- 4.1.3.4 Markings shall be transferred to each part of an identified item when subdivided and shall not be obliterated or hidden by surface treatment or coating unless other means of identification are substituted. [NQA-1-1997, Requirement 8, 202 4s; DOE/RW-0333P 8.2.2.B.3 and 8.2.2.B.4]

4.1.4 Traceability

- 4.1.4.1 When codes, standards, or specifications include specific identification or *traceability* (see def.) requirements (such as identification or traceability of the item to applicable specification and grade of material; heat, batch, lot, part, or serial number; or specified inspection, *test* [see def.], or other records), the program shall provide such identification and traceability control. [NQA-1-1997, Requirement 8, 301; DOE/RW-0333P 8.2.4.A]

4.1.5 Limited Life Items

- 4.1.5.1 Items having a limited calendar or operating life or cycles shall be identified and controlled to preclude use of items whose shelf life or operating life has expired. [NQA-1-1997, Requirement 8, 302; DOE/RW-0333P 8.2.4.C]

4.1.6 Maintaining Identification of Stored Items

- 4.1.6.1 Provisions shall be made for the control of item identification consistent with the planned duration and conditions of storage, such as [NQA-1-1997, Requirement 8, 303; DOE/RW-0333P 8.2.4.D.1s]:
- A. Provisions for maintenance or replacement of markings and identification records due to damage during handling or aging. [NQA-1-1997, Requirement 8, 303(a); DOE/RW-0333P 8.2.4.D.1]
 - B. Protection of identifications on items subject to excessive deterioration due to environmental exposure. [NQA-1-1997, Requirement 8, 303(b); DOE/RW-0333P 8.2.4.D.2]
 - C. Provisions for updating existing plant records. [NQA-1-1997, Requirement 8, 303(c); DOE/RW-0333P 8.2.4.D.3]

4.1.7 Records

- 4.1.7.1 All records designated in implementing documents as *quality assurance records* (see def.) shall be controlled in accordance with PRD-5088, 17.1 Quality Assurance Records. [Summary of records requirements from NQA-1-1997, DOE/RW-0333P, and Company Imposed Requirements]

8.1 IDENTIFICATION AND CONTROL OF ITEMS

Identifier: PRD-5079

Revision: 5

Page: 5 of 7

4.2 Specific Requirements for DOE/RW-0333P QARD Revision 10 Applications

This subsection (4.2) contains additional requirements from the QARD (DOE/RW-0333P, Revision 10) which are specific to the Spent Nuclear Fuel Program.

4.2.1 Traceability

- 4.2.1.1 Item identification methods shall ensure that traceability is established and maintained in a manner that allows an item to be traced to applicable design or other specifying documents.
[DOE/RW-0333P 8.2.3.A]
- 4.2.1.2 Item traceability documentation shall ensure that the item can be traced at all times from its source through installation or end use.
[DOE/RW-0333P 8.2.3.B]
- 4.2.1.3 If codes or standards do not include specific identification or traceability requirements, specifications shall specify identification and traceability methods appropriate to the item.
[DOE/RW-0333P 8.2.4.B]

5. DEFINITIONS

Refer to LST-199, Definitions, in the QA PRD Manual for the definitions of the following terms:

*acceptance**cognizant quality engineer**hold point**inspection**item**process**quality assurance record**rejection**safety class, safety significant, low safety consequence**test**technical support organization*

8.1 IDENTIFICATION AND CONTROL OF ITEMS

Identifier: PRD-5079

Revision: 5

Page: 6 of 7

*traceability**verification***6. REFERENCES**

ASME NQA-1-1997, Quality Assurance Requirements for Nuclear Facility Applications

DOE/RW-0333P, Office of Civilian Radioactive Waste Management, Quality Assurance Requirements and Description, Revision 10

7. APPENDICES

Appendix A, 8.1 Basis

8.1 IDENTIFICATION AND CONTROL OF ITEMS

Identifier: PRD-5079

Revision: 5

Page: 7 of 7

Appendix A**8.1 Basis**

Source	Citation	Requirement	Comments
ASME NQA-1-1997, Quality Assurance Requirements for Nuclear Facility Applications, Requirement 8	100 1s	4.1.1.1	Consensus Requirement (CR)
NQA-1-1997, Requirement 8	100 2s	4.1.2.1	CR
NQA-1-1997, Requirement 8	201 1s and 200 2s	4.1.2.2	CR
NQA-1-1997, Requirement 8	202 1s	4.1.3.1	CR
NQA-1-1997, Requirement 8	202 2s	4.1.3.2	CR
NQA-1-1997, Requirement 8	202 3s	4.1.3.3	CR
NQA-1-1997, Requirement 8	202 4s	4.1.3.4	CR
NQA-1-1997, Requirement 8	301	4.1.4.1	CR
NQA-1-1997, Requirement 8	302	4.1.5.1	CR
NQA-1-1997, Requirement 8	303	4.1.6.1	CR
NQA-1-1997, Requirement 8	303(a)	4.1.6.1.A	CR
NQA-1-1997, Requirement 8	303(b)	4.1.6.1.B	CR
NQA-1-1997, Requirement 8	303(c)	4.1.6.1.C	CR
Company Imposed Requirement	N/A	4.1.2.4	CIR
DOE/RW-0333P, Quality Assurance Requirements and Description for the Civilian Radioactive Waste Management Program, Revision 10	8.2.1.A	4.1.2.1	CR
DOE/RW-0333P	8.2.1.B and 8.2.1.C	4.1.2.2	CR
DOE/RW-0333P	8.2.2.A.1s	4.1.3.1	CR
DOE/RW-0333P	8.2.2.A.2s	4.1.3.2	CR
DOE/RW-0333P	8.2.2.B.1 and 8.2.2.B.2	4.1.3.3	CR
DOE/RW-0333P	8.2.2.B.3 and 8.2.2.B.4	4.1.3.4	CR
DOE/RW-0333P	8.2.3.A	4.2.1.1	Specific Requirement (SR)
DOE/RW-0333P	8.2.3.B	4.2.1.2	SR
DOE/RW-0333P	8.2.4.A	4.1.4.1	CR
DOE/RW-0333P	8.2.4.B	4.2.1.3	SR
DOE/RW-0333P	8.2.4.C	4.1.5.1	CR
DOE/RW-0333P	8.2.4.D.1	4.1.6.1.A	CR
DOE/RW-0333P	8.2.4.D.1s	4.1.6.1	CR
DOE/RW-0333P	8.2.4.D.2	4.1.6.1.B	CR
DOE/RW-0333P	8.2.4.D.3	4.1.6.1.C	CR
PRD-5088, 17.1 Quality Assurance Records	All	4.1.7.1	Summary of records requirements from NQA-1-1997, DOE/RW-0333P, and Company Imposed Requirements